

DEPARTMENT OF CORPORATIONS

File No. _____

STATE OF CALIFORNIA
DEPARTMENT OF CORPORATIONS

**“SHORT FORM APPLICATION”
FOR A LICENSE UNDER THE
CALIFORNIA FINANCE LENDERS LAW
CURRENTLY HOLDING ONE OR MORE LICENSES**

This application **must be accompanied** by a fee of \$300 which includes an application fee of \$200 and an investigation fee of \$100, both of which are **non-refundable**. (Financial Code Section 22103.) The application (together with the fees payable to the Department of Corporations) must be filed only in the Los Angeles office of the Department of Corporations, located at 320 West 4th Street, Suite 750, Los Angeles, CA 90013.

Fictitious Business Name:

2. Applicant's licensed place of business will be located at (Financial Code Section 22106):
(If outside of California provide statement required in Financial Code Section 22106.)

(Telephone number)	(Fax number)
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* (Last Name)	(First Name)	(Middle Name)
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(*Furnish a Statement of Identity Questionnaire (FS 512 SIQ). If this form has already been provided to the Department for this individual, there is no need to provide another form. (Form attached.) (Financial Code Section 22105.))

4. Please indicate by marking the appropriate box if there has been or will be **ANY CHANGE** in the applicant's plan of business previously submitted to the Department of Corporations.

☐ Yes (please explain) _____

☐ No.

5. Please provide license number and address of one other CFL license held by this applicant.

File # _____ Address _____

6. Please provide the name and address of the person to contact regarding this application. The license will also be mailed to this person **unless otherwise instructed**.

Attention: _____
(Name) (Title) (Telephone Number)

(Number and Street) (City) (State) (Zip Code)

Email Address: _____

In the event of the issuance of a license, applicant agrees to comply with the requirements of the California Finance Lenders Law and rules adopted, and orders issued, by the Commissioner of Corporations, and further agrees that in the event of any change of its officers, directors, or any persons named in this application, that an amendment to the application reflecting such change shall within sixty days from the date of the change, be filed with the Commissioner of Corporations setting forth the change, the effective date of the change, the names of the persons involved in the change, and a statement of the qualifications of each successor person. (Financial Code Section 22105(a), California Code of Regulations Sections 1409, 1446.)

WHEREFORE, applicant requests that a license be issued by the Commissioner of Corporations authorizing applicant to engage in business under the California Finance Lenders Law within the State of California.

The applicant has duly caused this application to be signed on its behalf by the undersigned, thereunto duly authorized.

The undersigned, on behalf of the applicant, acknowledges that this application and all exhibits thereto which are not designated as confidential are subject to public inspection pursuant to Section 250.9.1, Chapter 3, Title 10, California Code of Regulations. A request for confidentiality of certain documents may be requested pursuant to Section 250.10. If a request for confidential treatment is granted (or denied), the person making such request will be notified in writing.

I declare under penalty of perjury that I have read the foregoing application, including all Exhibits attached thereto, or filed therewith, and know the contents thereof, and that the statements therein are true and correct.

Executed at _____

Date _____

(Applicant)

(Signature of Declarant)

(Typed Name)

(Title)

**DEPARTMENT OF CORPORATIONS
STATE OF CALIFORNIA**

File No., if any

Licensee (Company Name)

(Insert Department of Corporations file number, if any, and the name of the licensee (company) to which this Statement of Identity and Questionnaire relates.)

STATEMENT OF IDENTITY AND QUESTIONNAIRE

Exact Full Name _____
(Please Print) First Name Middle Name Last Name

(Do not use initials or nicknames)

Position to be filled in connection with the preparation of this questionnaire (*e.g. Officer, Director, Manager, etc.*).

Sex _____ Hair _____ Eyes _____ Height _____ Weight _____

Birthdate _____ Birthplace _____

Social Security or Taxpayer's Identification No. _____ California Driver's License No. if any _____

NOTE: See Commissioner's Release 2-G regarding whether or not furnishing the social security number is mandatory or voluntary and for a description of the use made of that information.

Residence Phone No. _____ Business Phone No. _____ Hours of Employment _____

1. Residence addresses for the last 10 years:

From	To	Street	City	State
	Present			

NOTE: Attach separate schedule if space is not adequate

2. Employment for the last 10 years:

From	To	Employer Name and Address	Occupation and Duties
	Present		

NOTE: Attach separate schedule if space is not adequate.

3. Have you ever been named in any order, judgment or decree of any court or any governmental agency or administrator, temporarily or permanently restraining or enjoining you from engaging in or continuing any conduct, practice or employment?
☐ Yes ☐ No

If the answer is "Yes" give details:

4. Have you ever been refused a license to engage in any business in this state or any other state, or has any such license ever been suspended or revoked?
☐ Yes ☐ No

If the answer is "Yes" give details:

5. **Have you ever been convicted of or pleaded nolo contendere to a misdemeanor or felony other than traffic violations?**
NOTE: "Convicted" includes a verdict of guilty by judge or jury, a plea of guilty or of nolo contendere or a forfeiture of bail. All convictions must be disclosed even if the plea or verdict was thereafter set aside and the charges against you dismissed or expunged or if you have been pardoned. Convictions occurring while you were a minor must be disclosed unless the record of conviction has been sealed under Section 1203.45 of the California Penal Code or Section 781 of the California Welfare and Institution Code.

☐ Yes ☐ No

If the answer is "Yes" give details:

6. Have you ever been a defendant in a civil court action other than divorce, condemnation or personal injury?
☐ Yes ☐ No

If the answer is "Yes" please complete the following:

Date of suit _____ Location of court _____

Nature of suit _____

7. Have you ever been a subject of a bankruptcy or a petition in bankruptcy?

[☐] Yes [☐] No

If the answer is "Yes" give date, title of case, location of bankruptcy filing:

8. Have you ever been refused a bond, or have you ever had a bond revoked or canceled?

[☐] Yes [☐] No

If the answer is "Yes" give details:

9. Have you ever changed your name or ever been known by any name other than that herein listed?

(Including a woman's maiden name)

[☐] Yes [☐] No

If so, explain. Change in name through marriage or court order should also be listed. EXACT DATE OF EACH NAME CHANGE MUST BE LISTED.

10. Have you ever done business under a fictitious firm name either as an individual or in the partnership or corporate form?

[☐] Yes [☐] No

If the answer is "Yes" set forth particulars:

NOTE: The following questions must be answered by all persons submitting this questionnaire in connection with an ESCROW AGENT'S LICENSE.

11. In what capacity will you be employed?

(E.g., Clerk, Escrow Officer, Manager, Officer, Director, etc.)

12. Do you expect to be a party to, or broker or salesman in connection with escrows conducted by the escrow company which is employing you?

[☐] Yes [☐] No

If the answer is "Yes" please explain:

NOTE: Attach separate schedule if space is not adequate.

VERIFICATION

I, the undersigned, state that I am the person named in the foregoing Statement of Identity and Questionnaire; that I have read and signed said Statement of Identity and Questionnaire and know the contents thereof, including all exhibits attached thereto, and that the statements made therein, including any exhibits attached thereto, are true.

I certify/declare under penalty of perjury that the foregoing is true and correct.

Executed at _____ (City)

(County) (State)

this _____ day of _____, 20_____.

(Signature of Declarant)

State of _____)

County of _____)

Date _____, 20_____

at _____

(Signature of Affiant)

Subscribed and sworn to before me

_____, 20_____

Notary Public in and for said County and State

NOTE: This verification may be made either before a Notary Public or as a declaration under penalty of perjury. This form **MUST** be executed before a notary public if it is executed **OUTSIDE** the State of California.

DEPARTMENT OF CORPORATIONS
California's Investment and Financing Authority



NOTICES REQUIRED UNDER STATE AND FEDERAL LAW

I. INFORMATION PRACTICES ACT OF 1977
(California Civil Code Section 1798.17)

(a) The Department of Corporations of the State of California, is requesting the information specified in the application for registration, qualification, a certificate or a license.

(b) The Deputy Commissioner, Office of Management and Budget, 1515 K Street, Suite 200, Sacramento, California, 95814, telephone (916) 445-5541, is responsible for the system of records and shall, upon request, inform individuals regarding the location of the Department of Corporations' records and the categories of persons who use the information in the records.

(c) The records are maintained pursuant to one or more of the following laws: the Corporate Securities Law of 1968 (Corporations Code Section 25000, et seq.); the Capital Access Company Law (Corporations Code Section 28000, et seq.); the Bucket Shop Law (Corporations Code Section 29000, et seq.); the California Commodity Law of 1990 (Corporations Code Section 29500, et seq.); the Franchise Investment Law (Corporations Code Section 31000, et seq.); the Check Sellers, Bill Payers and Proraters Law (Financial Code Section 12000, et seq.); the California Deferred Deposit Transaction Law (Financial Code Section 23000, et seq.); the Escrow Law (Financial Code Section 17000, et seq.); the California Finance Lenders Law (Financial Code Section 22000, et seq.); the Securities Depository Law (Financial Code Section 30000, et seq.); and the California Residential Mortgage Lending Act (Financial Code Section 50000, et seq.).

(d) The submission of all items of information is mandatory unless otherwise noted. Section 17520 of the Family Code requires the Department of Corporations to collect social security numbers from all applicants. The Privacy Act of 1974 prohibits a state agency from denying an individual any right, benefit or privilege provided by law because of the individual's refusal to disclose the individual's social security account number.

(e) Failure to provide all or any part of the information requested may preclude the Department of Corporations from approving the application.

(f) The principal purposes within the Department of Corporations for which the information is to be used are to determine whether (1) a license, qualification,

registration, certificate or other authority should be accepted, granted, approved, denied, revoked or limited in any way; (2) business entities or individuals licensed or otherwise regulated by the Department of Corporations are conducting themselves in accordance with applicable laws; and/or (3) laws administered by the Department of Corporations are being or have been violated and whether administrative action, civil action, or referral to appropriate federal, state or local law enforcement or regulatory agencies, or to a self-regulatory organization, as authorized by law, is appropriate.

(g) Any known or foreseeable disclosures of the information pursuant to subdivision (e) or (f) of Civil Code Section 1798.24 may include transfers to other federal, state, or local law enforcement or regulatory agencies, or to a self-regulatory organization, as authorized by law.

(h) Subject to certain exceptions or exemptions, the Information Practices Act grants an individual a right of access to personal information concerning the requesting individual that is maintained by the Department of Corporations.

II. FEDERAL PRIVACY ACT OF 1974 (Public Law 93-579)

In accordance with Section 7 of the Privacy Act of 1974 (found at 5 U.S.C. § 552a note (Disclosure of Social Security Number)), the following is information on whether the disclosure of a social security account number is voluntary or mandatory, by what statutory or other authority such number is solicited, and what uses will be made of it.

(1) Section 17520 of the Family Code requires the Department of Corporations to collect social security numbers from all applicants. The Privacy Act of 1974 prohibits a state agency from denying an individual any right, benefit or privilege provided by law because of the individual's refusal to disclose the individual's social security account number.

(2) A social security account number is solicited pursuant to one or more of the following authorities: the Corporate Securities Law of 1968 (Corporations Code Section 25000, et seq.); the Capital Access Company Law (Corporations Code Section 28000, et seq.); the Bucket Shop Law (Corporations Code Section 29000, et seq.); the California Commodity Law of 1990 (Corporations Code Section 29500, et seq.); the Franchise Investment Law (Corporations Code Section 31000, et seq.); the Check Sellers, Bill Payers and Proraters Law (Financial Code Section 12000, et seq.); the Escrow Law (Financial Code Section 17000, et seq.); the California Finance Lenders Law (Financial Code Section 22000, et seq.); the California Deferred Deposit Transaction Law

(Financial Code Section 23000, et seq.); the Securities Depository Law (Financial Code Section 30000, et seq.); the California Residential Mortgage Lending Act (Financial Code Section 50000, et seq.); and the regulations adopted thereunder, as well as Section 17520 of the Family Code.

(3) For all persons disclosing a social security account number, the number may be used, in addition to other information provided, to conduct a background investigation of the individual by the Department of Justice's Identification and Information Branch or by other federal, state or local law enforcement agencies, or a self-regulatory organization, as authorized by law. The social security number may also be used to respond to requests for this number made by child support agencies.

III. THE PERMIT REFORM ACT OF 1981 (Government Code Section 15378(b))

The Department of Corporations has established time periods for processing an application from the receipt of the initial application to the final application decision. An applicant may appeal directly to the Business, Transportation & Housing Agency for a timely resolution of any dispute arising from a violation of the time periods. Information regarding the appeal process may be found in Title 21, Chapter 6 of the California Code of Regulations, entitled Regulations Relating to Appeals Under the Permit Reform Act of 1981.